

Substitute for form 1449/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Application Number</b>	09/494,799
		<b>Filing Date</b>	January 31, 2000
		<b>First Named Inventor</b>	Rene Robert
		<b>Art Unit</b>	3693
		<b>Examiner Name</b>	Richard C Weisberger
<b>Sheet</b>	1	of	3
		<b>Attorney Docket Number</b>	2002576-0001

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>1</sup> (# Known)			
	A1	5,101,353	03-03-1992	Lupien et al.	
	A2	5,915,245	06-22-1999	Patterson et al.	
	A3	5,826,244	10-20-1998	Huberman	
	A4	5,991,751	11-23-1999	Rivette et al.	
	A5	5,592,375	01-07-1997	Salmon et al.	

\* CITE NO.: Those application(s) which are marked with a single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW.

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>5</sup>
		Country Code <sup>2</sup> -Number <sup>3</sup> -Kind Code <sup>4</sup> (# known)					

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with a single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. \*\* CITE NO.: Those document(s) which are marked with an double asterisk (\*\*) next to the Cite No. are not supplied because they were previously cited by or submitted to the Office in a prior application relied upon in this application for an earlier filing date under 35 U.S.C. 120. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST 3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>	
	C1	Advantage Data Program: <a href="https://www.advantagedata.com/users/program.cfm">https://www.advantagedata.com/users/program.cfm</a> . July 9, 2003 (1 Page).		
	C2	Advantage Data Invoice #1, March 1, 1999 (1 Page).		
	C3	Advantage Data Investor Write Up, December 1997 (2 Pages).		
	C4	ALLQ, Bloomberg L.P. July 3, 2003 (4 Pages).		
	C5	"Autotrade Electronic Bond Trading Through Bloomberg", UBS Warburg. Circa 2002 (16 Pages).		
	C6	"The BLOOMBERG PROFESSIONAL" service, Bloomberg LP, 2000 (2 Pages).		
	C7	"Business Plan for Advantage Data", August 11, 1998 (60 Pages).		
	C8	"Capital Access Introduced Histran: An Electronic Historical Transaction Product Profiling U.S. Insurance Company Fixed-Income Trading Activity", HISTRAN Press Release, January 13, 1999 (2 Pages).		
	C9	May, David. "Avoiding an ABS Short-change on the Short End", Bloomberg, April 1999, Pgs. 75-58 (3 Pages).		
	C10	"Electronic Trading Will Be a Must" American Banker Bond-Buyer, a division of Thomson Publishing Corporation, December 1, 1997, Vol. 4, No. 46. Pg. 1 (1 Page).		
	C11	FMPS, Bloomberg L.P. July 7, 2003 (11 Pages).		
	C12	"GeoCities IPO Price Tops Forecast As Portal Attracts Strong Demand", Dow Jones Newswires, August 11, 1998 (2 Pages).		

Examiner Signature	Date Considered
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				Examiner Name	Richard C Weisberger
Sheet	2	of	3	Attorney Docket Number	2002576-0001

	C13	"GeoCities More Than Doubles in First Day of Trading". Bloomberg, L.P. August 11, 1998, Pg. 1-3. (3 Pages).	
	C14	Zuckerman, Gregory. "Electronic Trading in Bonds Has Been Slow to Catch On". Wall Street Journal June 3, 1998 (3 Pages).	
	C15	Harman, Steve. "Good, Bad & Cosmetically Challenged: Internet IPOs Show Strength in Numbers". Internet.com. August 7, 1998 (2 Pages).	
	C16	"Ten Ideas from Portfolio Managers to Municipal Sell Side". BondMarkets, December 1997, Pg. 9. (1 Page).	

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Sheet	3	of	3	Attorney Docket Number	2002576-0001

# **CERTIFICATION STATEMENT**

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

- ☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).
- OR**
- ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).
- ☐ See attached certification statement.
- ☐ The fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☒ A certification statement is not submitted herewith.

# **SIGNATURE**

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Christopher D. Agnew/	Date (YYYY-MM-DD)	2011-08-12
Name/Print	Christopher D. Agnew	Registration Number	43,464